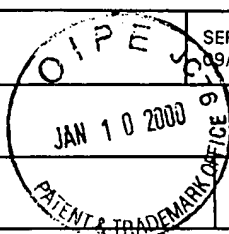


FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date submitted to PTO: January 7, 2000

ATTY DOCKET NO.
027756-0101APPLICANT
Arthur Willard ChaffeeFILING DATE
October 1, 1999SERIAL NO.
09/410,825GROUP
Unassigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
N.S.	4,334,270	6/8/82	TOWERS			
↑	4,346,442	8/24/82	MUSMANNO			
	4,376,978	3/15/83	MUSMANNO			
	5,021,976	6/4/91	WEXELBLAT et al.			
	5,132,899	7/21/92	FOX			
	5,471,575	11/28/95	GIANSANTE			
	5,517,406	5/14/96	HARRIS et al.			
	5,644,727	7/1/97	ATKINS			
	5,893,079	4/6/99	CWENAR			
↓	5,918,217	6/29/99	MAGGIONCALDA et al.			
N.S.	5,926,822	7/20/99	GARMAN			

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

N.S.	Advent Software: Solutions for Growing Investment Advisors – Business Challenges, 8/17/99, pages 1-3
↑	Advent Software: The Open GL Interface, 8/17/99, pages 1-2
	Advent Software: Axys Release 3 – Raising the Standard in Portfolio Management, 8/17/99, pages 1-6
	Centerpiece eReports Web Site Report Publishing, 8/17/99, pages 1-2
	Centerpiece Sample Reports, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Portfolio Statement, 8/17/99, pages 1-2
↓	Centerpiece Sample Reports, Portfolio Position Analysis, 8/17/99, pages 1-2
N.S.	Centerpiece Sample Reports, Asset Allocation, 8/17/99, pages 1-2

EXAMINER

N. Subramana

DATE CONSIDERED

12/15/03

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
N.J.	4,823,265	4/18/89	Nelson			
N.J.	5,245,535	9/14/93	Weiss et al.			

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J.	Centerpiece Sample Reports, Income Report, 8/17/99, page 1-2
A	Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Comparative Portfolio Performance Report, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Portfolio Performance Summary, 8/17/99, pages 1-4
	Centerpiece Sample Reports, Portfolio Performance Review, 8/17/99, pages 1-4
	Centerpiece Sample Reports, Portfolio Rebalancing Report, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Cross-Reference by Securities, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Global Maturity Report, 8/17/99, pages 1-2
	Financial Statement & Net Worth, 12/15/98, page 1.1
	Schedule D Worksheet, 12/15/98, page 18.1
	Internal Rate of Return Report, 12/15/98, page 13.1
	Randall Smith, So Far, 'E-Underwriting' Gets a Slow Start, The Wall Street Journal, August 13, 1999, pp. C1, C10.
	Harbinger ad, The Wall Street Journal, July 30, 1999, page A9
	American Express ad, The Wall Street Journal, July 30, 1999, page A11.
V	Island ad, The Wall Street Journal, July 29, 1999, Page A25
N.J.	Discover Brokerage ad, The Wall Street Journal, August 10, 1999, page A5

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N. Subramana

DATE CONSIDERED

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute Form PTO-1449

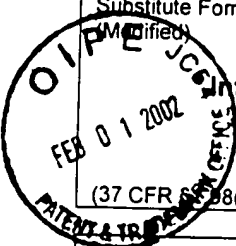
U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

09857-029001

Application No.

09/401,873

**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant

Stuart Serkin et al.

Filing Date

September 23, 1999

Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

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Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
N.A.	AQ	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System" Federal Register - Securities and Exchange Commission, Vol. 63, No. 48, March 12 1998, pps. 12124-40, XP002171774 (198.17.75.65/fril/)
N.A.	AR	Picot, A., Boertenlanger, C., Rohrl, H., "The Automation of Capital Markets", Journal of Computer-Mediated Communication, Vol. 1, No. 3, December 1995, pps. 1-19, XP002171775 (www.ascusc.org/jcmc/vol1/issue3/picot.html)

Examiner Signature

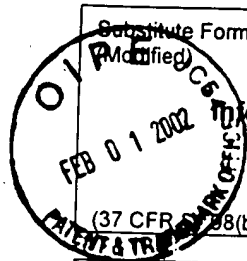
N. Subramaniam

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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 09857-029001	Application No. 09/401,873
Information Disclosure Statement by Applicant (Use several sheets if necessary)				Applicant Stuart Serkin et al.	
(37 CFR 1.98(b))				Filing Date September 23, 1999	Group Art Unit


Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
N.J	AS	Weber, B.W., "How Financial Markets are Going On-Line", EM – Electronic Markets: Newsletter of the Competence Center Electronic Markets, No. 9-10, October 1993, pps. 6-8, XP002171776 (www.electronicmarkets.org/netacademy/publicatinos.nsf/all_pk/1745/\$file/v3n3_Weber.pdf)
N.J	AT	"SelectNet User Guide", Nasdaq Stock Market, Inc., December 1999, pps. 1-33, XP002171777 (www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm).
N.J	AU	"SOES User Guide", Nasdaq Stock Market, Inc., December 1999, pps. 1-43, XP002171778 (www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm)
M.A.	AV	

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